Applicant or Patentee: RONALD A. KATZ, GARY L. WEST, and THOMAS B. BARKER

Serial or Patent No.:

09/038,399

Filed or Issued:

March 11, 1998

Title:

METHODS AND APPARATUS FOR INTELLIGENT SELECTION OF GOODS AND SERVICES IN TELEPHONIC AND

ELECTORNIC COMMERCE

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) and 1.27(b)) — INDEPENDENT INVENTOR

As a below-named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the above-entitled invention described in

_____ the specification filed herewith.

<u>A</u> application serial no. 0 9/038,399, filled March 11, 1998.
patent no, issued
I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).
Each person, concern or organization to which I have assigned, granted, conveyed or licensed or am under an obligation under contract or law to assign, grant, convey or license any rights in the invention is listed below. NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)
no such person, concern or organization.
persons, concerns or organizations listed below:
FULL NAME

FULL NAME ADDRESS					
FULL NAME	INDIVIDUAL	SM	MALL BUSINESS CONCERN	_	NONPROFIT ORGANIZATION
FULL NAME	INDIVIDUAL	SN	MALL BUSINESS CONCERN	<u> </u>	NONPROFIT ORGANIZATION
ADDRESS					
	INDIVIDUAL	SN	MALL BUSINESS CONCERN	_	NONPROFIT ORGANIZATION

OC-730.1

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Ronald A. Katz

Name of Inventor

Gary L. West

Name of Inventor

Thomas B. Barker

Name of Inventor

[[] |- 4Signature of Inventor

Mary Luje

Signature of Inventor

5/7/98

Date

DECLARATION Utility Application

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original

	joint inventor (is sought on the control of the co	if plural nan he inventior	nes are listed below n entitled <u>METHO</u>	v) of the DS AN	e subject matter which is class of the subject matter which is class of the subject matter which is class of the subject of th	aimed and for v	vhich a natent
	the specification	n of which					
	(Check One)	is attached	l hereto.				
	\boxtimes	was filed on March 11, 1998 as United States Application Serial No. 09/038,399					
ij		and was a	mended on (if ap	plicable	a)		
I hereby state that I have reviewed and understand the contents of the above-identified special including the claims, as amended by any amendment(s) referred to above. I acknowledge to disclose information which is material to the patentability of this application in accordance with Code of Federal Regulations, § 1.56(1). I hereby claim foreign priority benefits under Title 3 Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and identified below any foreign application for patent or inventor's certificate having a filing date the application on which priority is claimed.					knowledge the coordance with a coordance	duty to Fitle 37, United States re also	
	Application N	Number	Country	-	Date of Filing	Priority (Claimed No
Pendi						ation is not discribed \$ 35, United \$ 37. Code of Fe	closed in the States Code, ederal
						Pending	atus-Patented, Inding or Pandoned

Send Correspondence to:

Light & LYON LLP

633 W Fifth St., Suite 4700

Los Angeles, CA 90071

Direct Light none calls to:
David B. Murphy, Esq.

(213) 489-1600, Extension 1122

		633 W Fifth St., Suite 4700 Los Angeles, CA 90071		David B. Murphy, Esq. (213) 489-1600, Extension 1122		
	FULL NAME OF INVENTOR	FIRST Name Ronald	MIDDLE Initi	ial	LAST Name Katz	
201	RESIDENCE & CITIZENSHIP	City Los Angeles	State or Fore California	eign Country	Country of Citi U.S.A.	zenship
	POST OFFICE ADDRESS	Post Office Address 570 South Mapleton Drive	City Los Angeles		State or Country CA	Zip Code 90024
	FULL NAME OF INVENTOR	FIRST Name Gary	MIDDLE Initi	al	LAST Name West	
202	RESIDENCE & CITIZENSHIP	City Omaha	State or Fore Nebraska	eign Country	Country of Citiz	zenship
	POST OFFICE ADDRESS	Post Office Address 9746 Ascot Drive	City Omaha		State or Country NE	Zip Code 68114
	FULL NAME OF INVENTOR	FIRST Name Thomas	MIDDLE Initi B.		LAST Name Barker	·
203	RESIDENCE & CITIZENSHIP	City Omaha	State or Fore Nebraska	eign Country	Country of Citiz	zenship
	POST OFFICE ADDRESS	Post Office Address 708 North 164th Street	City Omaha		State or Country NE	Zip Code 68118
	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initia	ai	LAST Name	·-
204	RESIDENCE & CITIZENSHIP	City	State or Fore	ign Country	Country of Citiz	zenship
	POST OFFICE ADDRESS	Post Office Address	City		State or Country	Zip Code
	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initia	al	LAST Name	
205	RESIDENCE & CITIZENSHIP	City	State or Fore	ign Country	Country of Citiz	enship
	POST OFFICE ADDRESS	Post Office Address	City		State or Country	Zip Code
	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initia	al	LAST Name	
206	RESIDENCE & CITIZENSHIP	City	State or Fore	ign Country	Country of Citiz	enship
:	POST OFFICE ADDRESS	Post Office Address	City		State or Country	Zip Code
I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.					ke so	
Signa	ture of Inventor	201	Signature of	Inventor	204	•
Date	5-12-9	<i>f</i>	Date			

Date

Signature of Inventor

Date

Signature of Inventor

Date

Date

Date

Date

Signature of Inventor 206

Date

Date

205



POWER OF ATTORNEY

Ronald A. Katz, assignee(s) of the application for United States Letters Patent for an improvement in

		- 0 (.,		or a dent for an improvement in		
	METHODS AND APPARATUS FOR INTELLIGENT SELECTION OF GOODS AND SERVICES IN					
TELEPHONIC AND ELECTRONIC COMMERCE by Ronald A. Katz et al						
the specification of which was						
		executed on	even date herewith, or			
	\boxtimes	filed March 1	1, 1998 having Serial No. 09/038,399.	•		
As named inventor(s),I hereby appoint as my attorneys, with full power of substitution and revocation, to prosecute the transact all business in the Patent and Trademark Office connected therewith: Roland N. Smoot, Reg. No. 18,718; C. Jr., Reg. No. 20,467; James W. Geriak, Reg. No. 20,233; Robert M. Taylor, Jr., Reg. No. 19,848; Samuel B. Stone, F. Douglas E. Olson, Reg. No. 22,798; Robert E. Lyon, Reg. No. 24,171; Robert C. Weiss, Reg. No. 24,939; William E. Reg. No. 20,719; Richard E. Lyon, Jr., Reg. No. 26,300; John D. McConaghy, Reg. No. 26,773; William C. Steffin, R. Coe A. Bloomberg, Reg. No. 26,605; J. Donald McCarthy, Reg. No. 25,119; John M. Benassi, Reg. No. 27,483; Jam. No. 29,749; Allan W. Jansen, Reg. No. 29,395; Robert W. Dickerson, Reg. No. 29,914; Roy L. Anderson, Reg. No. 39,749; Allan W. Jansen, Reg. No. 32,395; Robert W. Dickerson, Reg. No. 29,998; Jeffrey M. Olson, R. Steven D. Hemminger, Reg. No. 30,755; Jerrold B. Reilly, Reg. No. 32,293; Paul H. Meier, Reg. No. 32,274; John A. No. 31,653; Kenneth H. Ohriner, Reg. No. 31,646; and Mary S. Consalvi, Reg. No. 32,212; Lois M. Kwasigroch, Reg. No. 34,874; Michael J. Wise, Reg. No. 34,047; Richard J. Warburg, Reg. No. 32,327; Kurt T. Mulville, Reg. No. 36,047; Richard J. Warburg, Reg. No. 32,327; Kurt T. Mulville, Reg. No. 37,668; S. Maceiko, Reg. No. 35,593; Bruce G. Chapman, Reg. No. 33,846 and F.T. Alexandra Mahaney, Reg. No. 37,668;						
	Send Corresp	oondence to:	LYON & LYON LLP 633 W Fifth St., Suite 4700 Los Angeles, CA 90071-2066	Direct Telephone calls to: David B. Murphy, Esq. (714) 751-6606		
	assignee and I to state ments made with the kimprisonment, comprisonment, compris	, parthership of further declare de on informati nowledge that or both, under t	totrier association, I am authorized to that all statements made herein of my	nd further, that these statements were made are punishable by fine or states Code, and that such willful false		
	Full Name of Assignee: Ronald A. Katz					
	Post Office Address 9200 Sunset Boulevard, Suite 1005, Los Angeles, CA 90069					
	Signature of D	eclarant or As:	signee:	Date: 「-ノレータ&		



UNITED STATES DEPARTMENT OF COMMERC Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER OF PATENTS AND TRADEMARKS Washington, D.C. 20231

NOVEMBER 13, 1998

PTAS

LYON & LYON LLP
DAVID B. MURPHY
633 WEST FIFTH STREET, SUITE 4700
LOS ANGELES, CA 90071-2066



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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/06/1998

REEL/FRAME: 9324/0552

NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

WEST, GARY L.

DOC DATE: 05/07/1998

ASSIGNOR:

BARKER, THOMAS B.

DOC DATE: 05/07/1998

ASSIGNEE:

KATZ, RONALD A.

9200 SUNSET BOULEVARD, SUITE 1005

LOS ANGELES, CALIFORNIA 90069

SERIAL NUMBER: 09038399

PATENT NUMBER:

FILING DATE: 03/11/1998

ISSUE DATE:

LENELL MACKALL, PARALEGAL ASSIGNMENT DIVISION OFFICE OF PUBLIC RECORDS

RECEIVED
NOV 1 8 1998
U.S. PROSECUTION

07-24-1998 FORM PTO-1595 U.S. DEPARTMENT OF COMMERCE 1-31-92 Patent and Trademark Office SHEET Docket No. 228/005 100775107 To the Honorable Commissional Patents and Trademarks. Please record the attached original documents or copy thereof. Name of conveying party(ies): 2. Name and address of receiving party: Gary L. West and Thomas B. Barker Name: Ronald A. Katz ⊠ No Internal Address: 3. Nature of conveyance: State: ■ Assignment ☐ Merger ☐ Security Agreement ☐ Change of Name Street Address: 9200 Sunset Boulevard, Suite 1005 Other City: Los Angeles ___State: <u>CA</u>__Zip: <u>90069</u> Execution Date: May 7, 1998 Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: May 12, 1998 Patent Application No(s). 09/038,399 B. Patent No(s).: Additional numbers attached? Yes No Name and address of party to whom correspondence concerning Total number of applications and patents involved: 1 document should be mailed: Total fee (37 CFR 3.41): \$40.00 Name: David B. Murphy, Esq. Enclosed Internal Address: LYON & LYON LLP Charge this Deposit Account if any additional fee is required 633 West Fifth Street, Suite 4700 Los Angeles, CA 90071-2066 Deposit Account Number: 12-2475 DO NOT USE THIS SPACE Statement and signature. To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Date: June 30, 1998 David B. Murphy, Reg No. 31,125 07/16/1998 MPEOPLES 00000048 09038399 Total number of pages including cover sheet:

OMB No. 0651-0011 (exp. 4/94)

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Washington, D.C. 20231

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ASSIGNMENT

WHEREAS, WE, GARY L. WEST, a citizen of the United States of America, residing at 9746 Ascot Drive, Omaha, Nebraska 68114, and THOMAS B. BARKER, a citizen of the United States of America, residing at 708 North 164th Street, Omaha, Nebraska, 68118 (hereinafter referred to as "ASSIGNORS"), have co-invented, along with Ronald A. Katz, and own a certain invention entitled METHODS AND APPARATUS FOR INTELLIGENT SELECTION OF GOODS AND SERVICES IN TELEPHONIC AND ELECTRONIC COMMERCE for which application for Letters Patent of the United States of America was filed on March 11, 1998, assigned Serial No. 09/038,399; and

WHEREAS, RONALD A. KATZ, an individual residing in the State of California, and having a principal place of business at 9200 Sunset Boulevard, Suite 1005, Los Angeles,

California 90069 (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the exclusive right, title and interest in, to and under said invention and in, to and under any Patent or similar legal protection to be obtained therefor in the United States of America, its territorial possessions and in any and all countries foreign thereto.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign, transfer and set over unto the said ASSIGNEE, its successors and assigns, the full and exclusive right, title and interest to said invention and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto to be obtained for said invention by said application, and to any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in the United States or a foreign country for the full term or terms for which the

same may be granted, including all priority rights under the International Convention; and ASSIGNORS hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent or any legal equivalent thereof to said ASSIGNEE, its successors and assigns, in accordance with this Assignment.

ASSIGNORS hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this Agreement;

ASSIGNORS further covenant that ASSIGNEE will, upon his request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNORS and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents in the United States or in any foreign country, which may be necessary or desirable to carry out the purposes thereof.

•	GN .
WITNESS my hand at Omaha, Nebrask	ta, this day of April, 1998.
	hour LWest
	GARY L. WEST
STATE OF NEBRASKA)	
COUNTY OF <u>Dauglas</u>) ss	
On	ry L. West, personally appeared
that he/she/they executed the same in his/her/the	proved to me on the basis of satisfactory evidence to ed to the within instrument and acknowledged to me eir authorized capacity(ies), and that by his/her/their the entity upon behalf of which the person(s) acted,
WITNESS my hand and official seal.	
	Rita R. Baker
A GENERAL NOTARY-State of Nebraska RITA R. BANCER PROTECTION My Comm. Pro. Dec. 29, 2001	Notary Public in and for said County and State

WITNESS my hand at Omaha, Neb	raska, thisday of April, 1998.
	TENAS P. PARVER
	THOMAS B. BARKER
STATE OF NEBRASKA	
COUNTY OF <u>Douglas</u>) ss	homas B. Barker, personally appeared
On <u>May 7, 1998</u> before me, <u>2</u>	homas B. Barker, personally appeared
be the person(s) whose name(s) is/are subscithat he/she/they executed the same in his/he	proved to me on the basis of satisfactory evidence to ribed to the within instrument and acknowledged to me r/their authorized capacity(ies), and that by his/her/their or the entity upon behalf of which the person(s) acted,
WITNESS my hand and official seal	
GENERAL NOTARY-State of Nobcasica PATA PL. BANCER CONTROL By Comm. Exp. Bec. 29, 2001	Notary Public in and for said County and State



UNITED STATES DEPARTMENT OF COMMERCI Patent and Trademark Office ASSISTANT SECRETARY AND COMMISSIONER OF PATENTS AND TRADEMARKS

JUNE 22, 1999

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LYON & LYON LLP
DAVID B. MURPHY
633 WEST FIFTH STREET, SUITE 4700
LOS ANGELES, CA 90071-2066



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RECORDATION DATE: 04/02/1999

REEL/FRAME: 9884/0021

NUMBER OF PAGES: 4

Washington, D.C. 20231

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

KATZ, RONALD A.

DOC DATE: 03/22/1999

ASSIGNEE:

TELEBUYER, LLC 9200 SUNSET BOULEVARD, SUITE 1005 LOS ANGELES, CALIFORNIA 90069

SERIAL NUMBER: 09038399

PATENT NUMBER:

FILING DATE: 03/11/1998

ISSUE DATE:

SEDLEY PYNE, PARALEGAL ASSIGNMENT DIVISION OFFICE OF PUBLIC RECORDS

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	FORM PTO-1595 1-31-92			SHEET	U.S. DEPARTMENT OF COMMERC Patent and Trademark Office
	Docket No. 228/005	1010130			
		er of Patents and Trademarks. I			
	Name of conveying party(i Ronald A. Katz Additional name(s) of conv	es): eying party(ies) attached?	Name: <u>T</u>	ne and address of rec relebuyer, LLC	67
	3. Nature of conveyance: Assignment Security Agreement Other	☐ Merger ☐ Change of Name	City:	Address:	2S = 3
	Execution Date: March 22	. 1999	City: Los	Angeles	_State: <u>CA</u> Zip: <u>90069</u>
			Additiona	l name(s) & address	(es) attached? Yes No
1	Application number(s) or p If this document i A. Patent Application No(s).	s being filed together with a new	. 1	e execution date of the	ne application is:
1	1	Additional numbers	attached?	Yes 🛛 No	
}		lld be mailed:	7. Tota	al fee (37 CFR 3.41): Enclosed	Account if any additional fee is
Ì		DO NOT	USE THIS SPA	ACE	•
	9. Statement and signature. To the best of my knowledge original document. David B. Murphy, Reg No. 31, Total number of pages inc.	ge and belief, the foregoing infor		and correct and any a	ttached copy is a true copy of the
	OMB No. 0651-0011 (exp. 4/94)			
	Mail documents to be recorde	Do not do	etach this portion to:	on	
		Commissioner of	f Patents and Tr	ademarks	e ser
			Assignments gton, D.C. 2023	1	y 1811 tyle

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of Management and Budget, Paperwork Reduction Project, (0651-0011), Washington, D.C. 20503

CERTIFICATE OF MAILING -

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(37 C.F.R. §1.8a)

Lhereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

March 29, 1999
Date of Deposit
Signature of Person Mailing Paper OC 23177.1

ASSIGNMENT

WHEREAS, I, RONALD A. KATZ, a citizen of the United States, residing at 570 S. Mapleton Drive, Los Angeles, California 90024 (hereinafter referred to as "ASSIGNOR"), has invented and own a certain invention entitled METHODS AND APPARATUS FOR INTELLIGENT SELECTION OF GOODS AND SERVICES IN TELEPHONIC AND ELECTRONIC COMMERCE for which application for Letters Patent of the United States of America was filed on March 11, 1998, assigned Serial No. 09/038,399;

WHEREAS, TELEBUYER, LLC, a California limited liability corporation having its principal place of business at 9200 Sunset Boulevard, Suite 1005, Los Angeles, California 90069 (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the exclusive right, title and interest in, to and under said inventions and in, to and under any Patent or similar legal protection to be obtained therefor in the United States of America, its territorial possessions and in any and all countries foreign thereto.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR hereby sell, assign, transfer and set over unto the said ASSIGNEE, its successors and assigns, the full and exclusive right, title and interest to said invention and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto to be obtained for said invention by said application, and to any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention; and ASSIGNOR hereby authorizes and request the Commissioner of Patents and Trademarks to issue

Patent 228/005

said Letters Patent or any legal equivalent thereof to said ASSIGNEE, its successors and assigns, in accordance with this Assignment.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this Agreement;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents in the United States or in any foreign country, which may be necessary or desirable to carry out the purposes thereof.

WITNESS my hand at Las Angeles	, California, this
23 <u>nd</u> day of <u>March</u> , 1999.	
Kica	. / _
RONALD A. KATZ	~~~

Managing Member

STATE OF CALIFORNIA)		228/005
COUNTY OF Los Angel) ss <u>S</u>)	• _	
On 3-22-99 before	ore me, Olga L. Juanez	_, personally	appeared
personally known to m	e		
- OR -			
-		•	

proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Notary Public in and for said County and State

